

Docket No.
P07 41795

Declaration For Patent Application

English Language Declaration

As a below named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below next to my name,

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled

Transfection, Storage and Transfer of Male Germ Cells For Generation of Selectable Transgenic Stem Cells
This is a cont.-in-part apl. based on U.S. Pat. Apl. Ser. No. 09/191,920 filed 11/13/98.

the specification of which

(check one)

☐ is attached hereto.

☒ was filed on April 15, 1999 as United States Application No. or PCT International
Application Number 09/292,723
and was amended on _____

(if applicable)

I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment referred to above.

I acknowledge the duty to disclose to the United States Patent and Trademark Office all information known to me to be material to patentability as defined in Title 37, Code of Federal Regulations, Section 1.56.

I hereby claim foreign priority benefits under Title 35, United States Code, Section 119(a)-(d) or Section 365(b) of any foreign application(s) for patent or inventor's certificate, or Section 365(a) of any PCT International application which designated at least one country other than the United States, listed below and have also identified below, by checking the box, any foreign application for patent or inventor's certificate or PCT International application having a filing date before that of the application on which priority is claimed.

Prior Foreign Application(s)

Priority Not Claimed

(Number)

(Country)

(Day/Month/Year Filed)



(Number)

(Country)

(Day/Month/Year Filed)



(Number)

(Country)

(Day/Month/Year Filed)



I hereby claim the benefit under 35 U.S.C. Section 119(e) of any United States provisional application(s) listed below:

60/065,825

November 14, 1997

(Application Serial No.)

(Filing Date)

(Application Serial No.)

(Filing Date)

(Application Serial No.)

(Filing Date)

I hereby claim the benefit under 35 U. S. C. Section 120 of any United States application(s), or Section 365(c) of any PCT International application designating the United States, listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States or PCT International application in the manner provided by the first paragraph of 35 U.S.C. Section 112, I acknowledge the duty to disclose to the United States Patent and Trademark Office all information known to me to be material to patentability as defined in Title 37, CFR Section 1.56 which became available between the filing date of the prior application and the national or PCT International filing date of this application:

09/191,920

November 13, 1998

Pending

(Application Serial No.)

(Filing Date)

(Status)
(patented, pending, abandoned)

PCT/US98/24238

November 13, 1998

Pending

(Application Serial No.)

(Filing Date)

(Status)
(patented, pending, abandoned)

(Application Serial No.)

(Filing Date)

(Status)
(patented, pending, abandoned)

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

Full name of sole or first inventor

CAROL W. READHEAD

Sole or first inventor's signature

Date

Residence

2185 San Pasqual Street, Pasadena, CA 91107

Citizenship

U.S.A.

Post Office Address

Same as above

Full name of second inventor, if any

ROBERT WINSTON

Second inventor's signature

Date

Residence

11 Denman Drive, London NW11 6RE, United Kingdom

Citizenship

British

Post Office Address

Full name of third inventor, if any

H. PHILLIP KOEFFLER

Third inventor's signature

Date

Residence

13141 Rivers Road, Los Angeles, CA 90049

Citizenship

U.S.A.

Post Office Address

Same as above

Full name of fourth inventor, if any

CARSTEN MÜLLER

Fourth inventor's signature

Date

Residence

142 South Wetherly Drive, Apt. 111, Los Angeles, CA 90048

Citizenship

U.S.A.

Post Office Address

Same as above

Full name of sole or first inventor CAROL W. READHEAD	
Sole or first inventor's signature <i>Carol W. Readhead</i>	Date <i>5.20.99</i>
Residence 2185 San Pasqual Street, Pasadena, CA 91107	
Citizenship U.S.A.	
Post Office Address Same as above	

Full name of second inventor, if any ROBERT WINSTON	
Second inventor's signature <i>Robert Winston</i>	Date <i>18th May 1999</i>
Residence 11 Denman Drive, London NW11 6RE, United Kingdom	
Citizenship British	
Post Office Address <i>As above</i>	

Full name of third inventor, if any H. PHILLIP KOEFFLER	
Third inventor's signature	Date
Residence 13141 Rivers Road, Los Angeles, CA 90049	
Citizenship U.S.A.	
Post Office Address Same as above	

Full name of fourth inventor, if any CARSTEN MÜLLER	
Fourth inventor's signature	Date
Residence 142 South Wetherly Drive, Apt. 111, Los Angeles, CA 90048	
Citizenship U.S.A.	
Post Office Address Same as above	

**VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY
STATUS (37 CFR 1.9(f) AND 1.27 (d)) - NONPROFIT ORGANIZATION**

Docket No.
P07 41795

Serial No.
09/292,723

Filing Date
April 15, 1999

Patent No.
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Issue Date



Applicant/ Patentee: Carol W. Readhead, Robert Winston, H. Phillip Koeffler, and Carsten Müller

Invention:

**TRANSFECTION, STORAGE AND TRANSFER OF MALE GERM CELLS
FOR GENERATION OF SELECTABLE TRANSGENIC STEM CELLS**

I hereby declare that I am an official empowered to act on behalf of the nonprofit organization identified below:

NAME OF ORGANIZATION: Imperial College of Science, Technology and Medicine

ADDRESS OF ORGANIZATION: Exhibition Road
South Kensington, London SW72AZ
United Kingdom

TYPE OF NONPROFIT ORGANIZATION:

- ☒ University or other Institute of Higher Education
- ☐ Tax Exempt under Internal Revenue Service Code (26 U.S.C. 501(a) and 501(c)(3))
- ☐ Nonprofit Scientific or Educational under Statute of State of The United States of America
Name of State: _____ Citation of Statute: _____
- ☐ Would Qualify as Tax Exempt under Internal Revenue Service Code (26 U.S.C. 501(a) and 501(c)(3)) if Located in The United States of America
- ☐ Would Qualify as Nonprofit Scientific or Educational under Statute of State of The United States of America if Located in The United States of America
Name of State: _____ Citation of Statute: _____

I hereby declare that the above-identified nonprofit organization qualifies as a nonprofit organization as defined in 37 C.F.R. 1.9(e) for purposes of paying reduced fees to the United States Patent and Trademark Office regarding the invention described in:

- ☐ the specification to be filed herewith.
- ☐ the application identified above.
- ☐ the patent identified above.

I hereby declare that rights under contract or law have been conveyed to and remain with the nonprofit organization with regard to the above identified invention.

If the rights held by the above-identified nonprofit organization are not exclusive, each individual, concern or organization having rights to the invention is listed on the next page and no rights to the invention are held by any person, other than the inventor, who could not qualify as an independent inventor under 37 CFR 1.9(c) or by any concern which would not qualify as a small business concern under 37 CFR 1.9(d) or a nonprofit organization under 37 CFR 1.9(e).

Each person, concern or organization to which I have assigned, granted, conveyed, or licensed or am under an obligation under contract or law to assign, grant, convey, or license any rights in the invention is listed below:

- ☐ no such person, concern or organization exists.
☐ each such person, concern or organization is listed below.

FULL NAME Cedars-Sinai Medical Center

ADDRESS 8700 Beverly Boulevard, Los Angeles, California 90048-1869

☐ Individual ☐ Small Business Concern ☒ Nonprofit Organization

FULL NAME _____

ADDRESS _____

☐ Individual ☐ Small Business Concern ☐ Nonprofit Organization

FULL NAME _____

ADDRESS _____

☐ Individual ☐ Small Business Concern ☐ Nonprofit Organization

FULL NAME _____

ADDRESS _____

☐ Individual ☐ Small Business Concern ☐ Nonprofit Organization

Separate verified statements are required from each named person, concern or organization having rights to the invention averring to their status as small entities. (37 CFR 1.27)

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b))

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

NAME OF PERSON SIGNING: Dr. Jonathan Gee

TITLE IN ORGANIZATION: Head of Technology Development

ADDRESS OF PERSON SIGNING: Imperial College of Science, Technology and Medicine
Exhibition Road
South Kensington, London, SW7 2AZ, United Kingdom

SIGNATURE: _____

DATE: May 28th '99